Organizational Capacity Building Training Manual

List of abbreviations

BoDs	Board of Directors
BCC	Behavior Change Communication
CEOs	Chief Executive Officers
CHACs	Community Health Action Committees
CoA	Chart of Accounts
COTS	Community Organizers Training Services
CSO	Civil Society Organization
DOA	Delegation of Authority
FBOs	Faith Based Organizations
FP	Family Planning
GAAPs	Generally-Accepted Accounting Principles
GAGASs	Generally Accepted Government Accounting Standards
GRN	Goods Received Note
M&E	Monitoring and Evaluation
MER	Monitoring, Evaluation and Reporting
MNCH	Maternal Neonatal and Child Health
MoH	Ministry of Health
MoU	Memorandum of Understanding
NGO	Non-Governmental Organization
PLWHAs	People Living with HIV and AIDS
PPP	Public Private Partnerships
SMAG	Safe Motherhood Action Group
SMGL	Saving Mothers Giving Life
US	United States
USAID	United States Agency for International Development
USG	United States Government
ZISSP	Zambia Integrated Systems Strengthening Program

Contents

Acknowledgement

This manual is aimed at equipping the Zambia Integrated Systems Strengthening Program (ZISSP) grant partners by reducing capacity gaps identified during the capacity assessment exercise that was undertaken by the Ministry of Health in collaboration with ZISSP. In particular, this manual has been developed to address skill-building opportunities highlighted in the organizational capacity assessment reports (checklists). The manual is a compilation of inputs from several United States Agency for International Development (USAID) partners which were reviewed in coming up with this document. Several other sources were consulted including the: Orientation Package for Grants Support Teams, Abt Associates, Inc.; ZISSP Grants Manual; Pact Zambia Grants Manual, Pact Ethiopia Strategic Action Grant, Research Triangle Institute; Grant Management Procedures Manual and Zambia National Education Coalition; and the Grant-making Mechanism. Several other sources were consulted including the USAID website. The authors would like to acknowledge these sources and many others not mentioned.

Chapter 1: Financial Management

Learning objectives

After completing this chapter, you will be able to:

- Define Financial Management
- Describe the role of each employee in managing finances
- Describe the financial management cycle
- List the reports that are needed as part of financial management

Definition

A working definition:

> Planning, organizing, controlling and reporting on the organization's financial resources to achieve its goals.'

Basic Principles of Financial Management

To achieve financial management these principles should act as a guiding force in the evolution and application of the systems and procedures of an organization.

Custodianship

The board and management team are responsible for the custodianship of the organization's resources and have a duty to ensure that they are used in accordance with the organizational policy or any contractual agreements.

Accountability

Every organization is accountable to someone. Organizations have their members, partners, donor agencies, members, beneficiaries, and the general public. Those who have invested their time, effort, money, and trust in the organizations are interested to see that the resources are used effectively and for the purpose for which they were intended.

Integrity

If the organization is to maintain healthy partnerships with donors, vendors, and employees, the integrity of organizations must be beyond question. To achieve this there must be complete transparency about how funds are being used, and the records must be a reflection of reality.

Transparency

A system must be established whereby all financial non-confidential information is recorded accurately and presented clearly, and can be easily disclosed to those who have a right to request it.

Consistency

The financial management of the organization should be consistent over time to enable comparative analysis and transparency of information.

Non-deficit financing

Deficit financing means that planned expenditures of the organization are higher than planned income. Organizations should not set out to achieve its objectives until it is confident that it will have sufficient funding to cover all of its activities. To do otherwise is to undertake commitment that may not be fulfilled and utilize resources that may ultimately be wasted.

Standard documentation

The system of maintaining financial records and documentation should observe international generally-accepted accounting principles (GAAPs).

Financial management building blocks
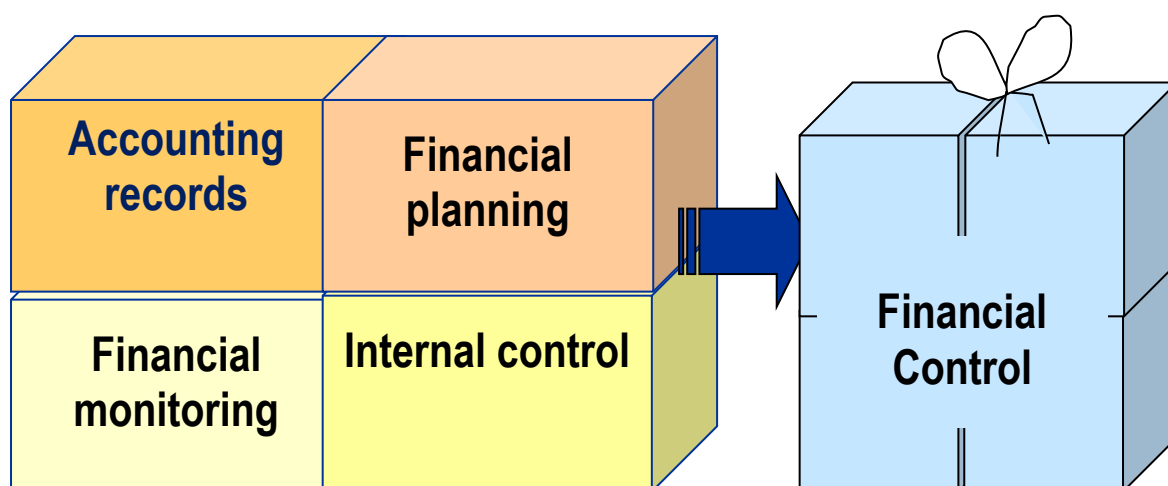
Financial management structure and roles

Every employee in the organization has some role to play in assuring sound financial management:

Employee	Roles and responsibilities
Board of directors	• Help generate income (grants, donations, income generating activities) • Conduct the long-term plan for the financial health of the organization (5-10 years) • Approve annual budgets • Approve accounting reports • Approve major expenditures • Delegate authority to the management team • Instigate and approve external audits • Ensure adherence with national and local tax laws
Management team	• Develop annual activity-based budgets • Oversee program expenditures within budgets
Finance manager and staff	• Oversee and approve annual activity-based budgets • Manager: assist board with long-term financial plan • Ensure adherence with financial controls • Maintain the financial records of the organization • Produce accounting reports for the board and management team

	• Enable external audits
Program and operations management and staff	• Implement programs within approved budgets • Follow procurement and other procedures • Supply accounting staff with documentation (receipts, etc.)
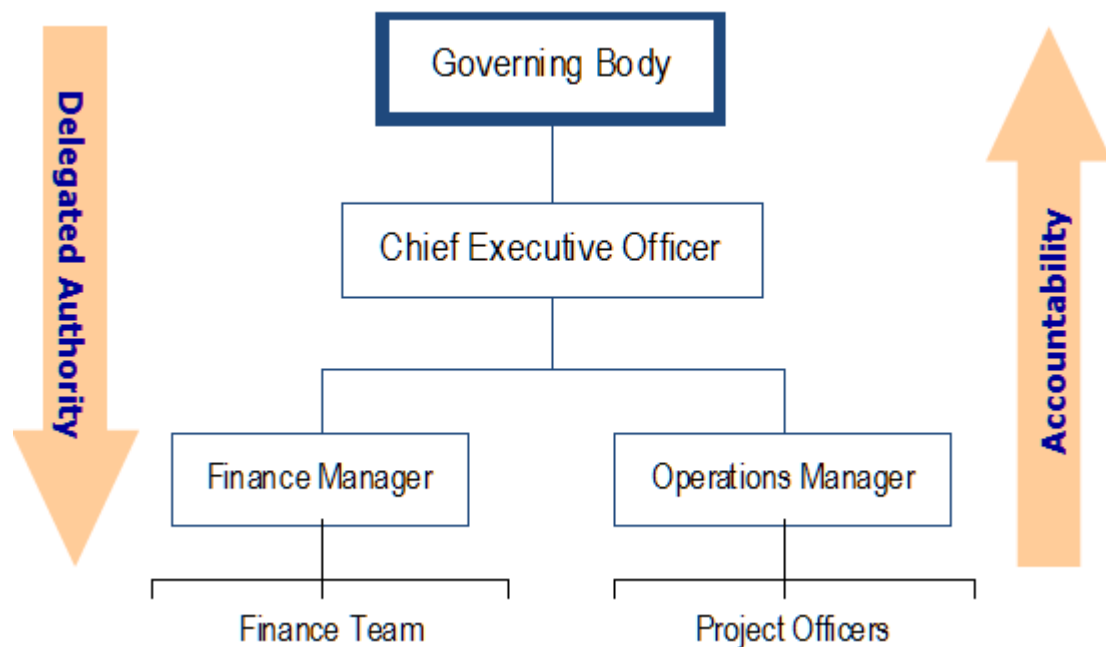
Delegation of authorities chart

It is critical that every organization have a clearly defined delegation of authority (DOA) that specifies who approves what transactions at what expenditure level. The DOA will typically be developed by the board and management team working together. The finance committee of the board (if any) will have final approval of the DOA. The DOA thresholds will be different for every organization but should specify delegation for the following areas:

- Financial Management
- Human Resources Management
- Operations Management
- Procurement Management
- Other as needed for the unique situation of the organization

For each of these areas, the DOA should specify:

- Delegation: who has authority to do what?
- Procedures: what is the procedure for each item (step-by-step)?
- Limits: what are the limits for each item/transaction?
- Controls: what are the controls that will assure the DOA is followed?

Delegation of authority example

The following is an example of the procurement delegation of authority from a mid-sized Family Planning NGO:

Procurement management

Delegation

The Board of Directors delegates authority to the Executive Director to manage the procurement process of operational goods and services that **cost less than $5,000** through Procurement Committees composed by the Executive Director, the F&A Manager, and the head of the respective department. The financial resources of these procurements should be part of the annual work plan and approved in the quarterly budget by the President and the Treasurer.

The objective is an efficient, diligent and timely procurement process of operational goods and services (mainly supplies and small equipment).

For procurements **between $5,000–$30,000**, two members of the Board of Directors, the Executive Director, and the F&A Manager will compose the Procurement Committee. The Board of Directors will decide procurements **above $30,000**.

Procedures

- The Board of Directors delegates the authority to the Executive Director to manage the procurement process of goods and services within the established ceiling (**$5,000**) and in coordination with either the F&A Manager and the head of the respective department or unit that requested such a procurement.
- Procurements for each month will be included in the quarterly budget and approved by the President and Treasurer.
- The Executive Director will set the Procurement Committee and initiate the process according to the written rules and procedures. The Executive Director will chair the Procurement Committee which will make final decision.
- Minutes of meeting of the committee as well as all backup documentation will be part of the quarterly report submitted to the President and Treasurer.

Limits

Authority delegated to the Executive Director on procurement management issues has the following limits:

- Procurements should be part of the annual work plan and included in the quarterly budget approved by the President and Treasurer
- The procurement procedures cannot be changed by the Executive Director
- The total amount of procurement does not exceed **$5,000** and is for operational goods and services only.

Controls

The Executive Director will provide a monthly report of procurement activities along with backup documentation. The President and Treasurer will review the reports, and compare against the work plan and quarterly budget.

Financial management cycle

As depicted in the figure below, financial management is a continuous cycle of planning, implementing, and accounting. A typical annual financial cycle proceeds in the following steps:

Plan

- Set annual and long-term strategy (board and management team)
- Set long-term financial forecast
- Forecast annual income
- Set annual action plan made up of various activities
- Set a budget for each activity
- Compare annual budget totals to annual income forecast, make changes as necessary

Do

- Implement the annual plan activities
- Spend money as needed
- Receive money

Review/Check

- Account for funding income and expenditure (accounting and associated reports)
- Compare expenditures to budgets
- Compare income to forecasts
- Adjust activities and budget allocations as necessary
- Alter the plan
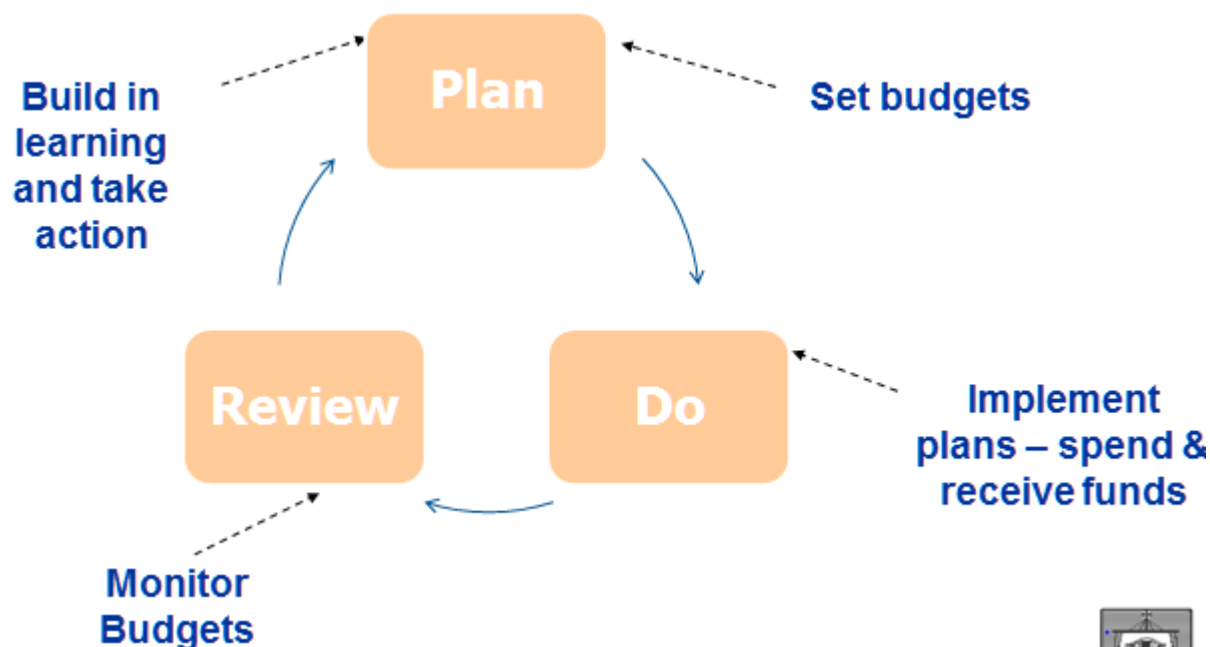
Procurement

Because procurement of services, goods, and utilities makes up the majority of organizational expenditures, it deserves special attention. In addition, financial irregularities are most often uncovered in procurement transactions, and extra levels of control are necessary. Procurement can be divided into three categories according to the items that need to be bought. These categories are services, goods, and utilities.

Purchasing goods or services

The following procedures should be followed when procuring a service such as hiring a consultant, remodeling a facility, or hiring catering for a meeting; or when purchasing goods such as computers, furniture, vehicles, or regular supplies

1. Complete a request form: the organization should have a standard purchase request form which specifies the service in terms of what, where, when, how many, and any other helpful specifications.
2. Obtain budget holder approval: If the request is not within a current approved budget, the request will need management or board approval depending on the amount, and the organization's delegation of authority limits.
3. Get quotations: if the projected amount is above the organization's threshold for competitive bidding, the finance team will obtain at least three quotes.
4. Prepare a purchase order (which acts as a contract) to be signed by the delegated authority, depending on the amount.
5. Receive goods or services: the goods should be delivered or the service rendered.
6. Receive invoice: the vendor should supply an invoice to accounts receivable.
7. Process payment by raising a payment voucher and check.
8. Make the payments with relevant supporting documents.

Paying for utilities

Utilities of the organization include the following: rent, electricity, water, telephones, postage, security, etc. For utilities, a contract must be entered into between the organization providing the

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service and the company receiving the service. At the end of the month, a bill will be received from the organization specifying the month and amount due.

Financial controls

Financial controls are the systems and procedures put in place to make sure that financial resources are being used according to the rules of the organization. A budget therefore is an important management tool that is used to effect financial control.

ZISSP supplements financial control of grantees through the periodic (monthly) reports that each grantee is obliged to provide as per contractual requirements. These reporting requirements are explained below.

In order to ensure that an organization has a documented reference point for financial management and financial control, financial policies and procedures are coded into a manual called a **Financial Policies and Procedures Manual**.

A financial procedures manual should specify the following procedures and controls:

- Internal controls
- External annual audits
- Procurement procedures
- Filing
- Chart of accounts

Internal controls

The controls specified in the Financial Policies and Procedures Manual should include the acquisition, custody, and management of the organization's assets, liabilities, income, and expenditures. These are procedures designed to prevent, detect, and correct errors. Some of the major and common internal controls are:

- Authorizations and signatories: transactions should always be approved and authorized by the person specified in the delegation of authorities chart. *In all cases, the person expending money cannot be the person approving the expenditure*. This makes it more difficulty for fraudulent transactions to be processed (since a number of people would have to collude in the fraud), and it is also more difficult for accidental errors to be processed (since more people are involved).
- Multi-part documents: copies of each document will be sent to all parties specified in the DOA, as well as the chief accountant or financial manager.
- Pre-numbering of documents such as purchase orders or cheese: missing numbers in a sequence may indicate that the transaction has not been recorded or has not been processed further.
- Regular financial reports: financial reports will be reviewed and signed by those specified in the DOA.

External controls: annual audits

An audit is an independent check or examination of financial records as well as financial procedures. The financial records include:

- Income and expenditure statements
- Profit and loss account

- Balance sheet
- Cash flow
- Fund reconciliation
- Receipts
- Invoices
- Purchase orders
- Bank deposit records

The statements are audited to ensure that they conform to accounting standards such as:

- The generally accepted accounting principles (GAAPs)
- The laws of Zambia
- The Memorandum of Understanding with any financier

The following questions should be answered by an audit:

- Are the accounts prepared in conformity with accounting standards?
- Are they reasonable?
- Are they accurate and complete?
- Did activities actually happen?
- Are the supporting documents complete?
- Are payments properly authorized?
- Are the documents properly filed and easy to retrieve?

Financial reporting requirements for grantees

A monthly financial report (appendix 1) is required monthly and must be submitted to the Grants Manager at ZISSP. Grantees will also be required to do a close out report, 30 days after completion of their project.

This monthly report must include the following:

- A summary of expenditures supported by original receipts
- Disbursement and cash receipt journal
- Bank statement and reconciliation

The financial close-out template is as Appendix 2.

Further the reporting will be done in accordance with accrual basis of accounting: costs will be reported for the period when incurred. Grantees will spend as per approved plans and budgets except where adjustment is needed, which must be done with prior written approval from ZISSP.

Through these monthly reports, Grantees account for the activities undertaken as well as the costs incurred in carrying out these activities in the previous month. One such cost that is required to be included in these reports is labor cost. In order to support expenditure on labor, grantees are required to maintain time sheets or time records. Time sheets will assist in providing proof of time exclusively used in carrying out grant activities.

Budget monitoring reports

A budget monitoring report assists in ensuring the organization's performance is as planned and budgeted and assists in effecting timely remedial measures.

Milestone Project - Budget Compared to Actual Report
Period covered: Month 1, 2012

All figures in ZMK

A	B	C	D	E
Budget item	**Budget for this period**	**'Actuals' for this period**	**Difference (Adv)/fav.**	**Notes**
A1. Salaries	4,000	3,389	611	Vacancy
A2. Recruitment	200	333	(133)	Accountants post re-advertised
A3. Staff training	230	280	(50)	Computer training brought forward
etc.				

Chapter 2: Monitoring, Evaluation, and Reporting (MER)

Learning objectives

After completing this chapter, you will be able to:

- State the benefits and purposes of tracking performance, measuring results, and reporting the progress of an organization
- Define the terms monitoring, evaluation, and reporting (MER), as well as other key terms often used in the discussion of MER systems
- Determine your organization's audiences and their unique information needs
- Construct a simple performance monitoring plan

Introduction

Organizations and managers working in health field are often aware that in order to be effective they need to know on a regular basis how well their organizations are doing; in reality, however, to base decisions on personal and staff judgment, anecdotal data, or haphazardly collected field information. Managers commonly state that they tend to place less emphasis on monitoring and evaluation because they perceive measuring performance as complex and time-intensive, and they do not see a benefit to investing in monitoring and evaluation systems. Many organizations and their management consider MER to be a requirement of the funding agencies that support them, an external rather than internal necessity. For instance, few managers consider MER to be a strategic system that they can adapt to assess their organizational capacity, judge their economic effectiveness, or predict their organization's future sustainability. This chapter aims to overcome some of these objections by discussing the principles of monitoring, evaluation, and reporting, and analyzing the benefits and purposes of MER systems.

Definition of monitoring, evaluation and reporting

A MER system is based on three separate but interrelated concepts: monitoring, evaluation, and reporting.

Monitoring is a systematic process of collecting and analyzing information to track the *efficiency* of the organization in achievement of goals. The organization will use this information to make any necessary mid-course corrections in program implementation. Monitoring provides regular feedback that helps an organization track costs, personnel, implementation time, organizational development, and economic and financial results to *compare* what was planned to actual events. In its simplest terms, monitoring is *collection and analysis of information to track project implementation*.

Evaluation is a systematic process of collecting and analyzing information to assess the *effectiveness* of the organization in the achievement of goals. Evaluation helps an organization analyze the consequences, outcomes, and results of its actions. Evaluation also helps organizations assess their relevance, scope, and sustainability. In its simplest terms, evaluation is the *collection and analysis of information to assess the impact of the organization's work*.

Reporting is the systematic and timely provision of useful information at periodic intervals. Reporting provides regular feedback that helps organizations inform themselves and others

(stakeholders, partners, donors, etc.) on the progress, problems, successes, and lessons of program implementation.

Efficiency and effectiveness are two key terms used when discussing MER systems.

Effectiveness *measures the degree to which results/objectives have been achieved*. An effective organization is one that achieves its results and objectives.

Efficiency measures how productively inputs (money, time, equipment, personnel, etc.) were used in the creation of outputs (products, outcomes, results). An efficient organization is one that achieves its objectives with the lowest expenditures of resources.

The essence of MER: comparing planned to actual change

Once an organization is in the process of implementing a particular project, managers want to know how things are progressing. Managers recognize that the organization is responsible for and will be held accountable for the completion of certain tasks. To ensure the completion of tasks, they need to be able to compare what was planned to what is actually going on in the field.

The importance of monitoring, evaluating, and reporting

There are numerous benefits to MER, many of which are unique to the individual institutions implementing the systems. Without monitoring and evaluation, it is impossible to judge if work is going in the right direction, whether progress and success can be claimed, and how future efforts might be improved. *The strength of a quality monitoring, evaluation, and reporting system lies not in its ability to produce data but rather in its ability to provide useful information for managing results.*

Organizations believe that if they intervene with initiatives and programs, change will be promoted in a positive manner. Management's challenge is to identify what management actions are needed to guide and control positive change. A MER system is simply a tool that organizations and managers use to see if they are achieving the change they set out to achieve.

The information circle

Here is an example of how the information collected about a program fosters donor support:

1. A donor (for instance, USAID) wants to promote a change: to reduce the incidence of HIV/AIDS.
2. They provide (through ZISSP) a grant to a local NGO who has a similar goal.
3. The NGO reports to ZISSP on how efficient and effective they have been in promoting a certain change.
4. ZISSP condenses this information and reports to USAID.
5. USAID condenses this information and sends it to U.S. and local government partners.
6. The governments' partners read the information, measure the results, and possibly clear support for more programs relating to HIV/AIDS response.

MER provides data for decision making

At key stages in the life of an organization or program, it is important to step back and ask: What have we learned? What are our lessons? What have been our successes and what have been our failures? This type of analysis allows organizations to better their systems and practices, and encourages institutional memory. Armed with this type of data, managers can ensure that successful

program elements are replicated and mistakes are minimized. Organizations prosper when they capture new knowledge and support learning.

Using new knowledge and learning is known as adaptive management, an approach to evaluation, management decision-making involving a cycle of planning, implementation, monitoring, research, and subsequent re-examination of management decisions based on new information. In its simplest form, adaptive management is *action in response to learning.*

Exercise: Building your organization's MER system: Describe why MER is useful

Beyond the four reasons cited in this chapter, please list why having a functional monitoring, evaluation, and reporting system could be useful to your organization

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Developing a successful MER plan for your organization

Building a MER system begins with development of a monitoring, evaluation, and reporting **plan**, which documents data collection, evaluation, and reporting procedures to be undertaken by the organization. The MER plan builds from the organization's strategic plan (which outlines the mission, strategies, objectives, and key activities of the organization) or original funding proposal. The MER plan should contain the following sections:

- The organization's vision, mission, objectives, and strategies
- Audiences for information and data
- Data collection plan:
    o What data will be collected
    o How often data will be collected
    o Sources of data
    o Data collection team
- Data reporting and analysis tools (reports, etc.) and schedule

Each of these sections is described in more detail below.

Vision, mission, and values

Information on how to create Vision, Mission, and Values statements for your organization appear in the chapter on Governance.

Audiences for information and data

One of the first steps in developing a MER plan is to determine who will be using the information that you will be collecting and what it is they would like to know. You may collect the best information in the world but if nobody cares about it or it is in a form that people cannot or will not use, then all your hard work will be wasted. Almost any project will have multiple audiences (stakeholders). To begin the process of determining your audiences, sit down with your project team and make a list of the various groups who you think might be interested in the results of your project and monitoring work. Differentiate between those audiences who just need to know about your organization versus those audiences who actually require information or data from your organization. In almost all cases, the first audience listed should be your own project team. Other possible internal audiences include the board, the membership, partner organizations, potential future donors, among others. Potential external audiences include the stakeholders or community

members with whom your project is working (may also be defined as an internal audience), donors, and policy and decision-makers in government and other agencies.

An example of an MER audience analysis appears below.

Audience	The data they need	Why they need it	When they need it
Internal			
Board members	Updates on: • Activities, projects, and programs • Management issues • Financial issues Lessons learned and info on program impacts	• To monitor the efficiency and effectiveness of the organization, its people, products and impacts • To provide guidance • To solve problems • To help us raise funds	Monthly memo and financial statement Quarterly meeting (Jan., April, July, Oct.) Annual report and financial statement (Dec.)
Management team	All performance data for the organization	• To make corrections in activities to better achieve results • To reallocate resources as needed to achieve results • To solve employee performance issues causing unexpected results • To plan for the next MER cycle	Monthly and quarterly
External			
Donor: ZISSP/USAID	• Progress of grant activities • Results of grant activities • Financial data • Lessons learned	• To approve transfer of funds • To monitor grant progress • To learn about our grant impacts • To monitor and evaluate the larger ZISSP program • To enable them to report to their donors	• Quarterly reports • Monthly financial reports • Mid-term evaluation report • Final program report and evaluation
Community leaders in project area	Results of HIV/AIDS prevention campaign: • Number of people reached in campaign • Incidence infections averted	• To be able to report back to the community and get feedback • To monitor community health • To ensure quality relations between the project and the community	Twice a year (Jan. and July)

Audience	The data they need	Why they need it	When they need it
Ministry of Health	Number of HIV/AIDS cases averted	• To count our contribution in a national HIV/AIDS prevention effort • To show efforts being made in country to improve standards of HIV/AIDS prevention • To compare incidence rates to level of illness in a target area • To approve our annual certificate of medical provision	Twice a year (June and Dec.)

Building your organization's MER system: Exercise #__. Audience and information needs analysis

Within my organization, who needs information about the progress and results/performance of programs?	What information do they need?	Why do they need the information? What will the data help them do?	When do they need the information from us? (Fill in these dates on your benchmark calendar)
Who are the external audiences that need information about the progress and results/performance of our programs?	What information do they need?	Why do they need the information? What will the data help them do?	When do they need the information from us? (Fill in these dates on your benchmark calendar)

Data collection plan

What data will be collected: results-based MER

Any project will have hundreds of possible questions that could potentially be asked about it. The data you collect and report should speak directly to the objectives, strategy, and action plan of the organization. For a service delivery organization, data should show the performance of the organization along four main parameters in *measurable* terms:

1. Quantity: how many of each type of services were delivered?
2. Quality: how well do the services meet accepted standards and clients' expectations?
3. Cost: how much do services cost to provide vs. income gained
4. Timeliness: did services occur on time?

Traditionally, monitoring focused simply on the implementation of projects: tracking basic inputs (resources) and outputs (products or services). For example: We *were given x amount of money and we… trained 12 organizations, issued 300 press releases, tested 1,200 people, etc.* Data collection was often completed haphazardly and not as part of a systematic, comprehensive, and long-term plan. When a project ended, the monitoring ended, too.

Today, given the increasing complexity of development issues and increasing competition for resources, organizations must think about (and present) the results of their programs as contributing to a larger *strategic objective*. A strategic objective is the overall and long-term effect of an intervention, in other words, it is the highest level of impact an organization anticipates having. Some examples include:

- Reduction in incidence of HIV
- Reduced number and percentage of young people (ages 15-24) that are HIV-infected
- Quality education equitably provided for all school aged youth
- Increased educational levels
- Increased livelihood (education, health, income)

Organizations plan, present, and monitor how they contribute to the attainment of a strategic objective in the short-term, intermediate, and long-term.

When you were developing your organization's strategic plan or proposal, you were probably thinking about what your organization wants to do in terms of development objectives (results you want to see and make happen). In creating that plan or proposal, you were laying out the structure for results-based management. *Results-based management* is a management approach by which an organization ensures that its processes, products, and services contribute to the achievement of clearly stated results. A result is a consequence of a particular activity, project, or program that an organization can affect and for which it is willing to be held accountable. Simply put, a result is a change in condition attributable in whole or part to the organization.

> *In its simplest form, a result is the objective restated as an accomplishment.*

If you are practicing results-based management, then it makes sense that your monitoring, evaluation, and reporting would mirror the same structure so that you have information about whether you are meeting your results. This is referred to as results-based monitoring (also known as performance monitoring or outcome monitoring). In addition to tracking general project implementation information (for example, how much money the organization spent on an activity), the MER system also measures the organization's contribution of processes, products, and services to broader development objectives.

Levels of results

One way to present the short, intermediate, and long-term results and associated indicators is to think about what the project is achieving at four levels:

- **Inputs and processes**

- **Outputs**

- **Outcomes**

- **Impact**

Inputs and processes *are the resources and methods employed to conduct an activity, project, and/or program.* Inputs can be physical, such as equipment rental or purchase; material, such as supplies and provisions; human, such as labor costs for salaries, technical assistance, and staff; or financial, such as travel costs, per diem costs, direct and indirect costs. Processes are the methods or courses of action selected to conduct the work, such as training, capacity building, service provision, and message promotion. Inputs usually produce a result immediately (0-1 years).

Outputs *are information, products, or results produced by undertaking activities or projects.* Outputs relate to completion of activities and are the type of results over which managers have a high degree of influence. Outputs reflect what you hoped to produce from a particular input (or set of inputs). For example: you decide the process you want to use is to train people. People trained is the result at the input/process level while knowledge level increased would be the result at an output level, the assumption being that if you train people, they will increase their knowledge on a given subject. Outputs usually reflect a result achieved in a relatively short time period (0-2 years).

Outcomes *are broad changes in development conditions.* Outcomes help us answer the "so what?" question (We trained 100 people and increased their knowledge but did or did they not change their behavior?). Outcomes often reflect behavior or economic change and help us analyze how our activities and projects scale up or contribute toward development outcomes. Outcomes usually reflect a result achieved over an intermediate time period (2-5 years).

Impacts *are the overall and long-term effects of an intervention.* Impacts are the ultimate result attributable to a development intervention over an extended period, such as improvement in HIV/AIDS incidence rates and higher standards of living for PLWHAs. Impacts usually reflect a result achieved over a longer time period (5-10+ years).

An example of a results-based MER table appears below.

Inputs/Processes	Outputs	Outcomes	Impacts
Resources and processes utilized to produce a change/result Examples: Staff Mentoring/technical assistance Funds Materials Facilities/ infrastructure Training Community mobilization Development of advocacy or communication messages Establishment of services Establishment of networks Establishment of websites Identification of best practices or lessons Research	**Short-term change, products and services, and effects** Examples: Knowledge/ awareness, understanding change Service change (more people receiving services) Access change (improved or expansion of access to services, programs, networks, materials or information) Quality change (improved programs, services) Capacity change (improved skills and abilities, improved capacity to address specific needs)	**Intermediate change, effects, and results** Examples: Behavior change (increased participation, improved HIV/AIDS prevention practice, increased media coverage, increased partnership and collaboration) Attitude change (percentage of the general population with accepting attitudes toward PLWHA) Individual economic change (increased financial benefits, increased household income, etc.) Percentage of people with advanced HIV infection receiving antiretroviral therapy. Individual educational level change Intermediate policy change/policy drafted	**Long-term change, effects, and results** Examples: Quality of life change Overall health status change (increased survival, decreased mortality, decreased morbidity, reduced infection rate, percentage of people still alive at six,12, and 24 months after initiation of treatment) Political change (human rights policies affecting PLHWAs developed, transparency and accountability among ministry of health (MOH) clinics achieved, etc.) Legal change (legislation enacted and rule of law improved, etc.) Human rights, sociocultural and empowerment change, socioeconomic status change (reduction in poverty, increased livelihoods, etc.) Resource management change

ZISSP-specific quantitative indicators

- Number of people trained in family planning and reproductive health with USG funds
- Number of people trained in maternal/newborn health through USG supported programs:
- Community health volunteers (SMAGs)
- Number of community health workers trained in child health and nutrition through USG-programs
- Number of health workers trained in IPTp (FANC) with USG funds
- Proportion of ZISSP target health centers with approved annual plans that include components of community action plans
- Proportion of target facilities with trained Safe Motherhood Action Groups (SMAGs)
- Number of people trained in BCC/IEC methods or materials in ZISSP target districts.
  - Community Health Workers
  - SMAGs
  - Media personnel
  - Drama groups
  - Grantees
  - Change agents

- Number of Volunteers (Community Health Advisory Committee members) trained in Health Planning
- Number of people trained in malaria case management with ACTs with USG funds
- Number of private companies that have been engaged in HIV/AIDS, FP, malaria, MNCH or nutrition services through PPP-type partnerships
- Evidence of improvements to systems and processes related to community engagement in health planning

How often data will be collected

If you are aware of specific time frames when stakeholders need data, be sure to document these dates. This will help you when you are scheduling your activities and reporting procedures. Be as exact as possible. Service delivery organizations typically collect performance MER data on a monthly basis. Often these data are aggregated for some groups (e.g., board of directors or USAID) on a quarterly basis. In problem areas, however, the management team can examine performance data as often as daily (e.g., in outbreak areas or where safety violations are common).

Sources of data

Your MER plan should specify the sources of the data you will collect. Wherever possible, rely on existing data that are already being collected. Using existing sources of data saves time, money, and makes the MER process sustainable. Examples of existing data include:

- Clinic registers
- MOH disease surveillance surveys
- Financial records
- Human resources (payroll) records

Data collection team

Finally, the MER plan should specify who is responsible for collecting each piece of information, and who is responsible for aggregation, analyses, and reporting.

MER plan example

Indicator	Source	Frequency	Responsible
Impact indicators			
HIV/AIDS prevalence	Demographic and health survey	Bi-annually	DHS survey team
Maternal mortality	MOH records	Monthly	M&E specialist (review MOH reports)
Outcome indicators			
% adherence to clinical guidelines	Supportive supervision checklists	Monthly	Clinical manager
% pregnant women counseled for PMTCT	Clinic PMTCT register Clinic Antenatal care register	Monthly	Clinic records-keeper
Output indicators			
Number of women attending the clinic	Clinic main register	Monthly	Receptionist
Number of providers receiving training	Provider training records	Quarterly	Personnel clerk
Number of supportive supervision observations	Supportive supervision forms file	Monthly	Clinical manager

Exercise

	Summary	Objectively verifiable indicators	Verification methods	Important assumption
Goal				
Purpose	IR1			
Results				
Activities				

Summary of Objectives/ Activities	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Overall Goal			
Project Purpose (IR 2)			
Results / Outputs			
Activities			

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ZISSP MER processes

In addition to performing financial oversight of grantees activity based on review and approval of regularly submitted financial and program reports, ZISSP will make periodic visits to the project sites for first-hand confirmation of progress. Therefore, all the ZISSP grant recipients will be incorporated into the program's M&E activities. The ZISSP Grants Manager and Grant Support Teams (GSTs) will draw up a plan for timely monitoring of the planned and agreed upon activities and other deliverables during the project implementation period.

The monitoring process will involve the following:

- Review of monthly program progress reports jointly with the responsible officers of the grantee organization and field visits, as appropriate to grantees activity sites.
- Supportive supervision visits to each grantee monthly using a system for performing these visits has been developed by ZISSP. The visits to the grantees will help determine whether grantees are performing according to the planned milestones. The visit will also assess whether the planned activities are meeting adequate technical standards or not. Working jointly with grantee staff, the visiting team will explore reasons for performance gaps, and jointly document lessons learned. This engagement will also determine whether there is need for technical support to the grantee. In an event that it is established that there is serious non-performance or suspected misuse of grant funds, ZISSP maintains the right to terminate grants, and will ensure that the reasons for termination are adequately documented and agreed on with the GST.
- ZISSP grant recipients will also assist the program in tracking success and progress in achieving key objectives and goals, and sharing lessons learned with ZISSP program staff and other grantee recipients. Grantees will be required to fill in the indicator tracking sheet on sections applicable to their project, which should be attached to their monthly programmatic report. Refer to **appendices 3 and 4 for indicator tracking sheet and monthly programmatic report templates, respectively**
- Identifying and documenting successes will be undertaken within the context of both the regular reporting called for in the grant agreement as well as through the following:
    - o Formal meetings and discussions with ZISSP program staff to collect data and discuss progress towards deliverables
    - o Response to occasional surveys or information requests on key technical issues
    - o Occasional meeting with ZISSP's international and Zambian short-term technical experts
- All data collected will be incorporated into the overall ZISSP M&E component and regularly communicated to USAID.
- Finally, grant monitoring should be agreed upon with the grantees. The dates and the details of the field monitoring requirements need to be shared well in advance

Chapter 3: Resource Mobilization and Sustainability

Learning objectives:

After completing this chapter you will be able to:

- Define resource mobilization
- Develop a simple resource mobilization plan
- Identify income-generating activities that you could use for your organization

Resource mobilization defined

Resource mobilization is about an organization getting the resources that are needed to do the work it has planned. Resource mobilization is more than just fundraising—it is about getting a range of resources, from a wide range of sources, through a number of different mechanisms.

Resource mobilization can therefore be conceptualized as a combination of:

- **RESOURCES** which are different kinds of things that are needed
- **MECHANISMS** which are different ways of directly getting resources
- **RESOURCE PROVIDERS** which are different people/organizations that provide resources

Developing a resource mobilization plan

Developing a resource mobilization plan can lead to creative efforts in using your own local assets to gain support for your organization. Multiple sources of funding can increase your independence and flexibility to implement programs and reduce reliance on external (or foreign) funding. With increased competition for scarce grant resources, thinking of, and creating options for new, diverse, and multiple funding streams will help your organization manage its programs.

Preparing for fundraising

Before you start fundraising, you should lay the foundation to have a compelling reason for donors to give. These reasons can be summarized in an organizational **fact sheet or information brochure**. Some of the key elements that will strengthen your case include:

- Clear sense and commitment to your vision and mission—who you are, where you are going, and how your mission relates to the communities served
- Promising program that will yield results
- Evidence of past accomplishments
- Effective management and leadership by your board members and staff who will ensure the accountability and transparency of the organization

- Financial systems that will safeguard the resources raised, including adequate financial controls that demonstrate good management and build trust
- Solid reputation, credibility, and positive image
- Mutual respect and knowledge sharing between the organization and the community it benefits, as well as other stakeholders
- The ability to attract, create, and sustain new resources, especially based in the local community
- Research current situation

Fundraising research

Before starting fundraising, conduct enough research to become familiar with your local situation. Items of interest should include:

- Legal situation
- Tax implications
- Replicate successful initiatives by others
- Build on local culture of giving
- Mapping community assets

Each community has a unique set of assets upon which to build its future. The first step in a fundraising strategy is to identify and inventory the range of financial and nonfinancial resources of the individuals, community (including NGOs, groups, and associations), and local institutions (including local government agencies). Non-financial resources include skills, talents (such as handicrafts), and capacities.

Mapping can help your organization consider alternate and efficient resources for your proposed project. You may rediscover innovative solutions by mapping traditional technologies and practices, in areas such as pest control or conflict resolution. By being aware of your community members' skills, you may be able to use a local resident to deliver services or training, rather than hiring an external consultant. Focusing on the community's assets could help to localize your fundraising and engage the local citizens to invest in their own future and create a sense of hope and control. Knowing one another's assets could also help to build relationships among local residents, associations, and institutions.

Volunteers as resources

Volunteers as resources could be retirees, technocrats, young people, student interns, local or international, who would be available to provide a service to your organization.

Income-generating activities

Income-generating activities (IGAs) are activities that an organization can engage in, in order to generate income. IGAs fall into 6 broad categories, as outlined below:

Membership drives

Membership drives are a type of IGA that is impacted upon by membership (membership fees or subscriptions).

Special events

Special events, also known as benefits, are a popular fundraising activity. The organization sells tickets to a social event, concert, dance, or sports tournament and adds a margin of profit. You can also sell crafts, T-shirts with your logo, or food at the event to make more money. You can have a "work party" where you bring the community together for a day to help renovate houses or a community library. Special events can be a fun way to publicize your cause, raise awareness of a specific issue, introduce a new program, create a positive image of your organization, outreach to your community about your services, mobilize your constituency, and celebrate your accomplishments. Special events can also be labor-intensive, take staff time, and lose money. To maximize your chance of success, some tips in planning the event are:

- Tie the event to your mission or cause
- Choose an event that people want to attend
- Choose a date that does not conflict with seasonal duties
- Repeat your event annually if successful—the first year may be the hardest and you may have learned lessons for the next one
- Set an appropriate price
- Recruit a local celebrity or dignitary to serve as an honorary chair
- Nominate a volunteer to serve as the manager of the event and enlist other volunteers – this could be a way to test new leadership skills and build a team
- Find a local business sponsor to donate cash or goods in exchange for free advertising.

Business ventures

As part of their mission statement, many NGOs work to improve the economic conditions of a targeted group by helping to create new sources of income. The strategies employed to realize these goals can also be useful in generating income for CSOs directly. A business plan can have a significant impact on the success and mission of a venture.

Generating resources from the sale of goods and services could be a type of business venture. The goods and services may be directly related to the mission or not. A common source of fees is to charge for training workshops or consulting in a technical field. Other ways could be to sell produce from a vegetable garden or nursery.

Before you venture into a commercial or business proposition, some of the aspects to consider and to develop into a business plan are:

- Conduct research on the business venture: what for-profit activities are allowable by law for your organization? If a for-profit venture is not possible, can you spin-off an enterprise with the sole purpose of financing the non-profit, mission-driven organization? What are the potential philosophical conflicts between your organization's mission and the profit-making venture?
- Think strategically: how is the mission of your organization related to the proposed venture? What are the goals and objectives of business?
- Conduct a market analysis: What is the potential market for your product or services based on a market analysis, pricing structure, and strategy describing your niche? Have you identified a buyer for your services or products? What are the global, regional, or local trends affecting your product or services?

- What is the competition from other companies, including their coverage, market share, pricing, etc.? Develop a financial and operating plan.
- What is the capacity of your organization and staff to run a business? What are the gaps and how will you fill them? A business venture requires specific skills in accounting, marketing, financial management, personnel management, and quality control.
- How and who will you operate your business, including daily activities?
- What are the start-up costs, monthly operating expenses, investment capital required, and profit and loss projections? How will you raise funds to cover these costs?
- What reserves do you have in case you cannot meet the costs?
- What is your timeframe?
- What are your contingency plans, in case you cannot raise the capital or if there are any unforeseen circumstances, such as a natural disaster or political instability?

Sustainability

Definition: Sustainability is the position in which the organization is able to cover or do its activities in a continuous manner without break. It can also be said it is the ability to remain implementing based on secure sources of resources. This can be internal generated or external sourced.

Sustainability of an organization's programs is better achieved when it has a sound resource base. Resource mobilization and resource mobilization strategies therefore assist organizations in achieving sustainability.

Chapter 4: Governance and Management

Learning objectives:

After completing this chapter, you will be able to

- Define governance and management and describe the differences between them
- Describe the core responsibilities of a board of directors
- Describe the duties of the management team

Introduction

Oftentimes *management* and *governance* are used interchangeably. In definition and in practice, however, there are significant differences. Healthy organizations need both good governance and effective management, but confusion between the two leads to lack of strategic direction and/or micro-management of day-to-day functions. In essence, governance answers the question of "what and where?" while management answers the question "how." Governance sets broad parameters and general direction, while management executes and implements with effectiveness and efficiency.

Some examples of governance issues are:

- Whom should we serve? Women only? Families? Children?
- What catchment area(s) should we attempt to serve?
- What broad service categories should we offer? Ante-natal care? Only family planning? PMTCT? Palliative care?
- What should be our broad categories of resource mobilization? Fee for service? Donor support? Membership dues?
- What kinds of people should we employ? Midwives? Physicians only? Professional managers?

Examples of management issues are:

- How do we fill the nurse vacancy?
- How do we deliver services? What days and hours? Whom sees which clients?
- How do we collect fees and assure accounting controls?
- How do we increase the number of clients we see

Typically governance decisions decide the general direction of the organization while management seeks to carry out those decisions in the most effective and efficient manner possible.

Governance

> **Definition**: Governance is "the manner in which power is exercised to lead and guide an organization"

There are four components of governance, including accountability, participation, predictability and transparency. These are outlined below:

Accountability

Accountability is the capacity to call individuals or institutions to account for their actions. The Board of directors, in their governing role, must stand partly outside the organization and hold it accountable to the public interest. This means in practice that the organization has the duty to answer questions to stakeholders (beneficiaries, staff, donors, etc.) why certain decisions were made, why a program takes a specific approach to achieve its goal or why certain programs were amended, stopped, started, etc. It also means establishing criteria to measure the performance of organizations and individuals and furthermore, to use systems which allow an overview to see if certain standards are met.

In financial terms, accountability covers accounting systems for expenditure control, systems to monitor effective use of resources or assets and internal and external audits.

Participation

Participation is the active involvement of staff/volunteers or stakeholders in the decisions that affect their lives and work. Participation relates back to the assumption that people are the heart of development and that an organization acts, at the end of the day, through individuals or groups. They are not passive beneficiaries but people who have ideas, wisdom, and experience how to best approach a goal or how to make a program work most effectively. The same applies to staff and their role in taking the organization forward. If there is no staff ownership of principles, concepts, or values, the organization will not be able to progress and grow.

Predictability

Predictability allows individuals to keep planning future activities, with the expectation that their interactions will not suddenly change.

Predictability refers to the existence of regulations, agreements, and policies, to regulate (organizational) issues. Secondly, it means that these regulations and policies are fair and consistently applied. These principles are essential for staff and stakeholders. If they act in a certain way, taking the risk to try out something innovative or do not perform as expected, they can forecast the return on their action or activity with greater confidence.

If these principles are applied, staff or beneficiaries should not live in fear that a single individual might suddenly make a decision that has a major impact on their lives.

Transparency

Transparency refers to the availability of information. It means that individuals or organizational activities, decisions, rules and procedures are documented, accessible (on time and both for internal and external people), clear, and easy to understand.

Transparency allows participation, supports accountability and prevents corruption or autocratic management styles.

Management

> **Definition**: Management is the process of executing the work and ensuring that staff and resources make an effective contribution towards achieving the goal.

Management is about making things happen. It is about organizing, planning, and controlling. How our organizations are managed varies a lot depending on the skills, style, and attitude of those responsible for managing. Management is the process of directing the work and ensuring that staff and resources make an effective contribution towards achieving the goal.

Why management is important

In all organizations management assumes the responsibilities of running the day-to-day activities of the organization. Therefore management is the driver for an organization. Management takes on the responsibilities of ensuring that all the agreed upon policies and plans are implemented. It is the part of the organization that translates policies and plans into action.

Governance versus management

Governance (Board)	Management
Board members are not classified as employees of the organization.	Managers are employees.
Board members are not paid and do not receive any staff benefits.	Managers are paid salaries and get staff benefits.
Board members do not work for or with the organization daily, maybe only one meeting every few weeks.	Managers work for the organization every day.
Board members do not make decisions about every day activities	Managers do all the day-to-day decision making.
Roles and responsibilities	
To ensure that the organization has a mission, strategy and long term objective	To turn the mission and strategy into reality
To create policies and procedures	To implement policies and procedures

Governance (Board)	Management
To hold the director accountable	To hold the staff accountable
To assure compliance with laws and regulations	To assure compliance with policies and procedures
To assure sufficient resources	To manage human and financial resources efficiently and transparently
To set a strategic plan	To set an annual action plan
Appoint the director and manage his/her performance	Hire staff and management their performance
Exert overall financial control	Implement accounting practices
Maintain donor relations	Write proposals

Job 1: setting vision, mission, and values

Every organization of every kind needs to set a clear vision, mission, and values. These are the standards and ideals by which all work of the organization should be judged.

- Vision: how does the organization envision the future: how will the world look after the organization and others like it do their jobs well?
- Mission: what is the work of the organization and what should it accomplish?
- Values: what does the organization value above all else, while carrying out the mission, in order to enable the vision of the future?

Example 1:

- Vision: a country free of HIV/AIDS
- Mission: to provide the highest-quality HIV/AIDS services to the greatest number of Zambians, at the lowest possible cost
- Values: transparency, gender equality, compassion

Example 2:

- Vision: all Zambian couples will have the number of children they want and can afford to raise
- Mission: to provide a wide range of high-quality family planning services to the families of Zambia at a sustainable cost
- Values: respect for all individuals, quality above quantity, fully informed clients, and a safe workplace for employees

Typically the vision, mission, and values will be developed during a multi-day retreat of the board and management team. Before the retreat, members of management will be assigned to seek out

representatives of the salient stakeholder groups for their input. This input will be presented during the workshop. While not necessary, the workshop will function best when facilitated by an individual or team with experience in helping organizations write vision, mission, and values statements. Once written, the statements should be communicated clearly to all. Further, the actions of the organization should be judged according to these statements. Future policies and programs should be moving the organization towards the vision, according to the mission, and adhering to the values. These statements should be the final decision-making criteria used to decide on policies and activities.

Avoiding board/management role confusion

The relationship between staff (paid or voluntary) and the Board can be a tricky one. Staff members often have a better working knowledge of the organization than the Board and feel a strong sense of ownership and control. They may want the Board's assistance but still resent its interference. On the other hand, the Board may complain that it is just there to rubber stamp the staff's decisions and that it has no real role or power. There is often confusion about where the role of the Board ends. Is it just a policy-making role or does the Board have responsibility for some of the day-to-day management?

Example 1

The Computer Training School (CTS) board consisted of two founding members, three ex-students, an accountant and a lawyer. The Board was very involved in the day-to-day running of the School. They met once a month and checked registration and attendance records kept track of fees and participated in the selection of teachers. The staff slowly grew from two to fifteen. With the growth of the staff, an internal structure was developed. There were two Departments, each with a Head of Department. The Director, together with the two Heads of Departments, formed a Management Team. The Management felt that they did not have the authority to make any decisions. Every check was authorized and signed by the Board and even fairly small administrative decisions, such as whether to buy a new desk, had to be approved by the Board. The Management often talked about their frustrations and sometimes felt that the Board was their enemy.

In this example, the Board believed that its role was to keep tight control over the project, while the staff wanted more responsibility and authority to be delegated to them. The Board and the Staff had different expectations of their roles.

Example 2

Community Organizers Training Services (COTS) is a training NGO. A year ago, a new Director was appointed. In the first year, he did a good job raising money and securing funding for the year ahead. However, the staff were not happy with him and found him autocratic and out of touch with the organization. The women on the staff, particularly, felt that the Director was sexist and did not take them seriously. Two members of the Management spoke to the Chairman of the Board about this. But the Board did not want to intervene in what they saw as a personality clash. The staff became more and more unhappy and two Senior Trainers resigned. In addition, discipline in the organization was slipping. As things became worse, the Director became more and more authoritarian. Sometimes he gave orders and refused to discuss them with members of the Management. When the Management tried to discuss

their problems with him, he accused them of being disloyal. In desperation, the management again sent two members to ask the Board to deal with their problems. But the Board again refused to get involved. Finally the entire staff brought a petition to the Board, and they agreed to take action.

In this situation, the staff clearly wanted the Board to help them to deal with the Director, while the Board did not want to get involved. In both these examples, the staff and the Board had different ideas of what the role of the Board should be.

Making the board chair/director relationship work

A constructive working relationship between the chair and the director is another essential ingredient of an effective board. A weak link leads to growing confusion over the distinctive roles of the staff and the board. A strong link ensures that both the board and the staff can be provided with effective leadership.

Chairs and directors who want to work together will invest time in developing their relationship. They

- Meet regularly
- Talk openly
- Agree on expectations of each other
- Plan work programs together

One common problem is when the chair visits the office very frequently. The chair's efforts are often entirely well-meant but being in the office frequently almost always blurs the roles of the chair and the director. It can be very frustrating for the director to have the chair too closely involved in the detail, and it can result in the chair not being able to retain a detached overview of the organization. It should almost always be avoided.

Exercise: The Role Swap Game

The board and the senior management team meet together in one room. The board gathers at one end of the room and imagines that it is the staff. It has twenty minutes to address the question "What do we expect of an effective board?" The staff meets at the other end of the room and imagines that they are the board. They address the question "What do we expect of an effective senior management team?" The two groups then meet together and report on their deliberations for twenty minutes. The final twenty minutes should be spent agreeing the changes that need to happen for each to meet the expectations of the other.

It is remarkable what high expectations can be established when one group stands in the shoes of the other.

Maintaining a Board

Many people agree to become board members without understanding what their role will be. They discover their role once they have attended a few board meetings. If board members fully understand their role before they ascend to their positions of board member, their contribution could be more fruitful from the beginning.

All board members have a role to play in governing the organization. The board needs to have a team with different responsibilities and a well-defined leadership structure. Those elected to positions of leading other leaders such as chairperson, secretary, treasurer and vices need to have their roles clarified. Therefore the understanding of their responsibilities should be part of their induction. The specific roles are as outlined in the governance manual. Below is a proposed induction pack for the board members.

The Board induction pack

Prepare an induction pack to give both to all new board members. The pack should include:

- The history of the organization, including when it was founded, its original purpose, and any significant changes of direction it has taken
- Statements about the organization's values, mission and objectives
- Information about the organization's current work, detailing sources of funding and major donors and including copies of any recent newsletters
- Details of other board members, including their addresses and telephone and fax numbers (if possible include brief career summaries of all members to highlight their expertise in a particular area)
- The structure of the organization (an organization chart and list of key staff with job title and a clear indication of their responsibilities)
- Most recent annual report and accounts for the previous two years
- A copy of the constitution, and any other governing documents
- Roles and responsibilities, and job descriptions of board members
- A recent set of board papers and minutes
- Board and committee structure
- The Director's job description
- Major policy documents
- Dates of forthcoming meetings

Making Boards more effective

The main aim of the board meeting is to make decisions. The best decisions are made when people have had good information about all possibilities. Sometimes this information can be provided by others, such as the Manager. However, sometimes this information needs to be collected by board members themselves.

The Board should form committees consisting of board members and sometimes other co-opted non board members. The committees will then have an in-depth study on issues and present options to the main Board for decision making. Sometimes it may be appropriate to delegate decision making

responsibilities for certain issues to the committee itself. It is important that committees are set up sparingly so that board member's time is not wasted and the Board's work is not slowed down.

There two types of committees that could be established; the permanent and ad-hoc committees. The ad hoc committees are formed to address the particular issue and once resolved they disband. **The permanent committees formed usually include finance, disciplinary, and nominating.**

Board members should be able to demonstrate, or have the potential to develop, the following attributes:

- Commitment to the mission of the organization
- Understanding of the needs of the organization and its beneficiaries
- Willingness to commit time
- Willingness to use their influence and connections to secure funds
- Willingness to use their influence and contacts to lobby on behalf of the organization and its beneficiaries
- Good judgment
- Ability to think strategically
- Discretion in working with others on confidential issues
- Ability to work in a team.

Typically, a board member will serve for two years before standing for re-election. Most organizations limit the number of terms that a board member may serve (usually two or three terms). Board members should work in a voluntary and unpaid capacity, but have their expenses paid.

Establishing accountability systems

As the board is ultimately accountable for the work of the organization, it should consider how to keep accountable those to whom it delegates responsibility and authority. This could involve

- Identifying targets to show what the board considers to be the extent of the responsibility delegated
- Identifying indicators that show progress towards achieving the responsibilities that have been delegated
- Checking if authority is not being abused, e.g., if the board has delegated making payments to the CEO and director of finance, it could commission an independent financial audit every year
- Putting limitations on the authority or responsibility that is delegated, e.g., certain authority could be delegated to the Director on condition that he or she do not delegate the authority to anyone else
- Ensure that delegated authority, responsibility, and accountability systems are clearly communicated and understood

Accountability systems make clear the processes by which the organization holds itself openly responsible for what it believes and what it does, by involving all concerned parties (stakeholders). The people with whom the organization intends to and works with (the donors, members, direct and indirect beneficiaries, local communities and Government, etc.) expect and are entitled to receive an

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account of what it has done. The people who are given accounts of the activities can then judge whether the organization has honored what it said it would do for them. Accountability is also an internal issue. The executive committee and subcommittees are accountable to one another for managing the organization properly, for instance by enforcing policy and dealing with disciplinary matters.

Why do organizations need to be accountable?

- To show the people they are working for and the people who support them that they are doing what they promised to do
- To show that resources are being used for the purposes for which they were given
- To demonstrate that the organization is working and behaving ethically
- If an organization says that its reason for existence comes from the needs of a particular group, then it must show a meaningful relationship with those people and ensure that they have a say in its operations
- To be sustainable: an organization that is not accountable to its key stakeholders is unlikely to be sustainable in the long run, because the stakeholders will not be able to trust it, they will find other, more accountable, organizations to work with.

What are the problems that an organization might face when trying to be accountable?

- The concept is not understood properly by some or all of the stakeholders.
- Some accountability tools such as monitoring and evaluation can be very technical.
- The organization can be so focused on being accountable to donors, that accountability to all other stakeholders can be forgotten.
- Being accountable to different groups can involve having to decide who has priority.
- If the leadership of the organization is not accountable, it is likely that the rest of the organization will not be.

The Board can fulfill its responsibility of accountability in the following ways

- By clearly determining the mission and purpose of the organization
- By carefully selecting/electing the Board chair and the other Board members (by the whole organization)
- By ensuring effective goal setting, strategic planning, and program monitoring within the organization
- By ensuring effective feedback and evaluation regarding programs and services
- By overseeing the effective use of the organization resources
- By serving as a court of last resort for complaints
- By insisting on the transparency of the organization
- By establishing an organizational culture of openness

Chapter 5: Human Resource Management

Learning objectives

By the end of this session, you should be able to:

- Write a simple job description
- Follow the steps to hire a new employee
- Build a simple compensation/salary scale for your organization
- List the records that should be kept for every employee
- List the five factors that every employee needs to perform well
- Provide supportive performance feedback

Introduction

In service delivery organizations, the most precious resource is the people who deliver services, and the staff who support them. Organizations will succeed or fail based on the motivation, dedication, and performance of their staff. If staff is poorly motivated or trained, they will not deliver high-quality services and clients will go elsewhere. If support staff (including management) don't assure that service-deliver personnel have what they need, again, service delivery will suffer along with client health outcomes and organizational success. This chapter describes a very basic human resource management (HRM) function for even the smallest organizations:

- Hiring
- Compensation
- Record-keeping
- Supervision and performance management

Hiring

Hiring is the process that should result in the right person, with the right skills, in the right job to meet the organization's needs: either providing services or supporting someone who does. Hiring is needed in two cases: (a) when an employee leaves the organization, creating a vacancy, or (b)when a new position is created. While workforce planning for large organizations is an involved process, for small organizations it can be handled on a more as-needed basis. Usually the Director or CEO, sometimes with the input of the board, decides on how many positions (people) are needed to meet the needs of the clients. As more clients come, the staff will grow to meet those needs. The CEO will usually ask for and receive approval from the board to create a new position. When there is an open position for either reason, the organization needs to hire a new person. Hiring involves a four-step process:

1. Recruiting or advertising
2. Screening
3. Selection
4. Orientation

Each of these steps is described in more detail below. Because all selection should be based on criteria set forth in the job description, brief instructions on writing a job description precede the hiring steps.

Job descriptions

It is vital that all positions in the organization have an up-to-date job description. A job description serves many purposes:

- Helps employees understand their duties and performance expectations
- Helps supervisors and employees have common understanding
- Helps supervisors by setting performance standards against which employees can be rated
- Protects the organization in cases of termination or discipline
- Serves as the basis for hiring and judging candidates
- Serves as the basis for judging job values and constructing a salary scale

At a minimum a job description should contain the following information:

- Job title
- Job location
- Direct supervisor (job title)
- Supervisees, if any
- Job purpose or mission
- Performance indicators or expectations
- Main duties
- Academic qualifications
- Work experience necessary
- Skills and abilities necessary to do the job

A sample job description appears in Appendix 5.

Recruiting

Recruiting is the process of finding suitable applicants for an open position. The best way to ensure a good match is by writing a careful position description to use for internal posting and advertising. The position description should be based on the job description (covered above). A position description is usually about a page in length and should contain the following section:

- **Overview of the organization**: what the organization's main work is, where it is located, its size, who it serves.
- **Summary of the position:** Job title, main activities, main responsibilities, where it fits in the organization, who would be the supervisor
- **Logistics of the job:** where would the person work, what hours are expected, whether travel is expected, whether overtime is expected, whether the job is permanent or temporary
- **Compensation and benefits**: how much to divulge is up to the organization. Some organizations advertise a salary range. Others use phrases such as "competitive wages" and discuss compensation during the interview process. Other organizations save compensation

discussions for only after a job offer is made. Information about benefits is normally basic and just states what vacation, holiday, retirement, and medical benefits are offered.

- **Qualifications**: the position description should list the minimum and desired qualifications for applicants. Be careful about listing minimum qualifications; in essence you're stating that without those qualifications, no matter how perfect the person is otherwise, they will not be hired.

A sample position description is included as Attachment 6

The position description should be posted: 1) internally on a jobs bulletin board, 2) in the local newspapers, and 3) on the organization's website, if there is one. One person, usually a secretary, should be assigned to collect all CVs which arrive. After the end of the position open date, the process of screening can proceed.

Screening

The purpose of screening is to find the best match between applicants and the needs of the organization. For mid-sized organizations we recommend that the screening take place in three phases:

1. Initial screening for required qualifications
2. Creating a short list of candidates
3. Interviewing and final selection

At the outset, an administrative assistant or HR clerk can be assigned to screen CV's for basic required qualifications. For example, if the position description calls for a Master's Degree, the clerk can sort out all CV's that do not show this credential. This exercise results in a smaller stack of CVs, all of which meet basic criteria.

The next step should be taken by a hiring committee, made up of the person in charge of HR, the hiring manager, and at least one more person. The third individual can be someone with special technical knowledge or the Director of the organization. The committee will sort through the reduced stack of CVs and decide on three-five applicants to interview. Interviews can then be scheduled by the secretary.

Prior to interviewing, we recommend that the committee construct a scoring sheet to use during the interview. The score sheet will help record immediate impressions and judgments, and will help in the final selection. (A sample interview score sheet is included as **Attachment 7**. The candidates may be interviewed by all three interviewers at one time, or separately depending on the desires of the committee.

Selection

After all interviews have been completed, the committee should meet to compare interview scores and to agree on the candidate whose qualifications best meet the needs of the organization.

Most organizations offer at least a slight preference for internal candidates (candidates already employed by the organization). Promoting from within helps increase employee morale and retention, showing an active career path for employees.

Note: it is possible that no candidates will meet the needs of the organization. In this case, it is preferable to start over with the recruitment process than to hire the "best of the bad lot."

Orientation

Orientation is the planned introduction of new employees to their jobs, their co-workers, and the organization. It is also called induction which is designed to provide a new employee with the information he or she needs to function comfortably and effectively in the organization. Recent studies have shown that good orientations can reduce staff turnover significantly: employees form their basic opinion of the new employer within the first two days of employment.

The objectives of the orientation program are to ensure that all employees who are newly appointed to a post:

- Are able to undertake their daily work routine efficiently and effectively as soon as possible after taking up the post
- Become acquainted with their co-workers
- Become familiar with their physical environment as quickly as possible
- Become familiar with the policies, procedures, principles, and working methods of organization
- Understand the organization's history, mission, vision, strategies, objectives and values of organization
- Know the health and safety policy of organization
- Know and have reference materials on the company benefits package

During the first week of reporting for employment or assumption of the new position, the employee's immediate supervisor should provide a job-specific orientation covering the following areas:

- Discussion of job responsibilities and expectations
- Organization Performance Management system and monitoring procedures
- Review of job-specific issues

Every manager must ensure that each of their new employees receives adequate orientation and induction in their area of work to thoroughly equip them with the right level of knowledge of the systems, procedures, and policies to enable them to perform efficiently and effectively.

The new staff must take the initiative to familiarize themselves with the resources available in addition to the various policies and procedures.

Compensation

Compensation is what an employee receives in return for his or her contribution (work) to the organization. Compensation occupies an important place in the life of an employee. His or her standard of living, status in the society, motivation, and loyalty depend upon the compensation he or she receives. For the employer too, employee compensation is significant because of its contribution in the cost of delivering services. Good salary and benefits can help attract and retain the best employees.

The objectives of a compensation policy are manifold:

- Attract suitable employees
- Retain qualified personnel
- Ensure that compensation adjusts to changes in market rates
- Reward loyalty by providing for progression and increases

One consideration in the establishment of compensation policy has to do with relative level of pay. When pay (salary) is seen as fair based on job demands, individual skill level and market pay standards, satisfaction is likely to result. But **the key in linking pay to satisfaction is not the absolute amount one is paid; rather, it is the perception of fairness.** In short, employees should perceive pay as fair for 1) the amount of work they do, 2) relation to the pay of others in the organization, and 3) relation to the pay others in similar organizations receives. Symptoms of pay dissatisfaction may include employee turnover and absenteeism.

> **A note on turnover**: High turnover in an organization results in high recruiting, selection, and training cost. High turnover can also disrupt the efficient running of an organization when knowledgeable and experienced personnel leave and replacements must be found and prepared to assume positions of responsibility. Your clients or patients may also quit the health facility and go with the leaving medical personnel.

Constructing a salary scale

The best way an organization can increase satisfaction with salaries is to publish a completely transparent salary scale. Salary scales are based on two main criteria:

1. Value of the job
2. Years of service

Deciding job value can be a very simple or very exacting and complicated process, depending on the needs of the organization. In the simplest case, the management team and the board of directors can discuss the various job titles in the organization and rate them along a scale of importance, difficulty of finding someone to fill the role, and scarcity of qualifications. For a mid-sized organization it is typical to have 10-15 job levels, with the CEO being the highest, and the cleaners the lowest.

If the organization has more time and the desire to be more scientific, it should (possibly with the help of an HR consultant) decide what factors are most important, and the relative weight of each factor. Below is an example of a job factor table from a mid-sized family planning organization.

Job value table example

Key Factors	Weight	Sub-factors	Weight
Education and Experience	25%	Education	10%
		Experience	15%
Responsibility	50%	Personal responsibility	20%
		Fund responsibility	10%
		Minimize work risks	15%
		Problem analysis and strategic decisions	5%
Creativity	10%	Attract customers and donors	7%
		Suggest new policies	3%
Working conditions and body effort	15%	Hard/dangerous working conditions	5%
		Work outside office	5%
		Dealing with public/customers	3%
		Huge body effort required	2%
Grand Total (100%)			

Based on this analysis, the same NGO arrived at the following job levels:

Grade	Job Titles
15	Executive Director
14	None
13	None
12	Medical Services Manager
11	- Membership Manager - Clinic Manager
10	- Finance & Administrative Manager - Quality Manager

	- MIS Manager
9	-None
8	- Maintenance Head of Section
7	- Community Health Workers
6	- Nurse - Lab Technician - Executive Secretary - HR coordinator
5	- Warehouse Supervisor - IT supervisor
4	- Clinic Admin Assistant
3	- Accountant
2	Driver
1	- Guard - Messenger

The final piece of the puzzle to put into place is years of service. It is typical to give a small increase, within grade, to employees who remain loyal to the organization. These increases are often called "increments" or "steps" within grade. Continuing with the same example, this NGO arrived at the following complete salary scale

GRADES															
1	220.000	224.400	228.888	233.466	238.135	238.135	242.898	242.898	247.756	247.756	247.756	247.756	247.756	247.756	247.756
2	230.000	234.600	239.292	244.078	248.959	248.959	253.939	253.939	259.017	259.017	259.017	259.017	259.017	259.017	259.017
3	240.000	245.280	250.676	256.191	261.827	261.827	267.587	267.587	273.474	273.474	279.491	279.491	279.491	279.491	279.491
4	250.000	256.000	262.144	268.435	274.878	274.878	281.475	281.475	288.230	288.230	295.148	295.148	295.148	295.148	295.148
5	325.000	333.450	342.120	351.015	360.141	360.141	369.505	369.505	379.112	379.112	388.969	388.969	388.969	388.969	388.969
6	400.000	411.200	422.714	434.550	446.717	446.717	459.225	459.225	472.083	472.083	485.302	485.302	485.302	485.302	485.302
7	475.000	489.250	503.928	519.045	534.617	534.617	550.655	550.655	567.175	567.175	584.190	584.190	584.190	601.716	601.716
8	550.000	567.050	584.629	602.752	621.437	621.437	640.702	640.702	660.564	660.564	681.041	681.041	681.041	702.153	702.153
9	625.000	645.000	665.640	686.940	708.923	708.923	731.608	731.608	755.020	755.020	779.180	779.180	779.180	804.114	804.114
10	700.000	723.100	746.962	771.612	797.075	797.075	823.379	823.379	850.550	850.550	878.618	878.618	878.618	907.613	907.613
11	750.000	775.500	801.867	829.130	857.321	857.321	886.470	886.470	916.610	916.610	947.775	947.775	947.775	979.999	979.999
12	775.000	802.125	830.199	859.256	889.330	889.330	920.457	920.457	952.673	952.673	986.016	986.016	986.016	1020.527	1020.527
13	800.000	828.800	858.637	889.548	921.571	921.571	954.748	954.748	989.119	989.119	1024.727	1024.727	1024.727	1061.617	1061.617
14	825.000	855.525	887.179	920.005	954.045	954.045	989.345	989.345	1025.951	1025.951	1063.911	1063.911	1063.911	1103.276	1103.276
15	850.000	882.300	915.827	950.629	986.753	986.753	1024.249	1024.249	1063.171	1063.171	1103.571	1103.571	1103.571	1145.507	1145.507

Organizational Capacity Building Training Manual

As stated at the beginning of this section, the power of a transparent and clearly-communicated salary scale is that it increases employee satisfaction by removing all thoughts of favoritism or unfairness.

Record keeping

A human resource information system (HRIS) is a systematic procedure for collecting, storing, maintaining, retrieving and validating data needed by an organization about its human resource. The HRIS can be paper- or computer-based. When computer-based, the HRIS is usually a part of the organization's larger management information system (MIS). The HRIS need not be complex or be computerized. But computerization has its own advantage of providing more accurate and timely data for decision making.

Staff /personnel records

Each new recruit should be required to complete a "Personal History Form" on which personal information, employment history shall be recorded. Information that should be shown in the Personal History Form include

- Personal data: age, sex, marital status
- Skills: education, job experience, training
- Special qualification: membership in professional bodies, special achievement
- Name and location of schools attended
- Salary and job history: present and past history
- Employment history: name of institution, position, period (duration)
- Special reference of individuals

A personal file should be opened by HR/Administration for all employees.

Each numbered employee file should contain the following documents:

- Employment test results/interview notes
- Personal History Form with a photograph
- Letter of application for employment
- Contract of Employment
- Letter of Employment
- Job Description
- Copies of certificates and license (testimonials)
- Copies of all correspondence whose subject is the employee, including warning letters
- Copies of all performance evaluations
- Copies of all salary/benefits adjustment notices
- Copies of all appropriate medical records
- 3 passport size photos

It will be the employee's responsibility to inform the organization in writing change in personal status such as marital status, number of dependents, etc. To avoid the possibility of forged documents, employees should be required to present original credentials at the time of employment and the

responsible person should put "original seen" and his/her initials on the copy received. Access to an employee's personal file shall be restricted to Administration staff and direct supervisors.

> Recordkeeping is a critical function of Human Resources-the right documentation can make or break your defence against employee lawsuits-not to mention fines and penalties from government agencies.

Supportive supervision and performance management

Every employee should have one supervisor who is responsible for monitoring and supporting his or her performance on a day-to-day basis. The main job of the supervisor is to assure that the employee has everything in his or her work environment he or she needs to perform up to standard. These *performance factors* can be stated in five categories:

- Clear performance expectations
- Feedback on performance
- Equipment and supplies
- Skills and knowledge
- Motivation

Employees in possession of all five of these performance factors in good measure will perform exceptionally. Each performance factor is described in more detail below.

Performance factor	Description	Role of the supervisor
Clear performance expectations	What you and clients expect from employees	• Give job descriptions, policies, standards, guidelines that apply • Give employees clear job expectations verbally • Set goals • Develop and maintain work and action plans
Feedback on performance	The information given to the employees that describes how well or poorly they are doing compared to their job expectations	• Ensure employees receive regular verbal and other feedback • Establish systems so that employees receive regular feedback from the clients and community members and co-workers • Encourage a system for self-assessment among the employees

Performance factor	Description	Role of the supervisor
Equipment and supplies	Adequate tools, supplies, and physical environment for providers and staff to perform their work according to expectations	• Maintain a supply list for each facility and employee • Regularly solicit input on tools and supplies
Skills and knowledge	The necessary skills and knowledge to do the job according to expectations	• Assess needs for training • Provide OJT to the employees as needed • Provide a safe environment for the employees to practice new skills • Allow time off to attend training
Motivation	Systems to help providers have reasons and desire to perform to standard	External motivation techniques: • Explore what motivates each employee • Provide recognition yourself • Arrange occasion for recognition from others • Use tangible items as rewards for good performance • Be transparent and fair Building intrinsic motivation: • Explain importance of the work or goal • Explain what's in it for the provider • Pep talks: "you can do it!" • Show they have done similar tasks before • Show people like them have been successful with this task

Giving performance feedback

Giving supportive performance feedback is the most powerful tool a supervisor can have in his or her tool kit. Constructive and supportive feedback, delivered well, will improve and maintain good performance perhaps more than any other technique. Unfortunately, giving feedback is often confused with punitive criticism which usually has the opposite effect: poor morale and worsening performance.

Punitive feedback usually has the following results:

- Not helpful in solving performance problems
- Results in excuses
- Makes providers feel offended, angry, or sad
- Decreases confidence, trust, and self-esteem

- Makes employees avoid supervisor and/or work (absenteeism)

Guidelines for giving feedback

1. Be positive

Too often, only negative feedback is given. It is too easy to see only what needs to be improved, and make comments about what people should do differently. But everyone, no matter how poor a performer, also does many things correctly. In order to nurture the things being done well, we need to notice them, and provide feedback. To the extent we give positive feedback, the good parts of a person's performance will continue and get even better. In addition, psychological studies have shown that employees who receive only negative or punishing feedback tend to be unmotivated and do less and less work. Those who receive a balanced mix of positive and corrective feedback can change what needs to be changed, but remain motivated to continue the good parts of their work.

2. Make specific statements; support general statements with specific examples

Precise and specific statements are valuable to the receiver for both positive behavior ("Exactly what did I do right?" or "What should I be sure to continue doing?") and negative behavior ("What precisely should I change?"). To be told that "you did well on that project" may be satisfying to both parties, but it's not nearly as effective as saying "you came in on time and under budget on that project." The latter describes exactly what the feedback giver sees as positive in the receiver's performance. To be told that "you dominate meetings" won't be useful unless it's followed up by specifics: "For example, in yesterday's meeting, you talked so much I stopped listening; you may have said some good things toward the end, but I didn't hear them."

3. Use descriptive rather than judgmental language

By avoiding judgmental language, you reduce the need for a defensive response. For example, regardless of merit, saying that some action was "terrible" or "stupid" or "utterly inappropriate" generally evokes anger, return accusations or passive- aggressive behavior in the listener. The feedback message rarely gets through this kind of verbal clutter.

On the other hand, describing the impact of the receiver's behavior on the performance of another makes it easier for the receiver to understand the meaning and importance of the feedback. Also, it tends to focus the discussion on behavior and not personal characteristics.

People are more open to listening about the results of their behavior than they are about the worth of their person. An example is the following: "When you get angry and use abrasive language, I'm afraid to tell you the truth so I just tell you what I think you want to hear." In this example, the results of the person's behavior are made clear.

4. Be direct, clear and to the point

No matter how well motivated one might be, certain actions ("beating around the bush," using lots of modifiers, talking in general terms in hopes that the person will "get the message") create misunderstanding and discomfort. The objective is to communicate directly, not leave someone guessing.

Exercise: See the handout *Feedback practice role play*

Attachment 1

Monthly financial reporting template

Instructions						
This report shall be done by the 20th of each month and should be submitted to the Grants Manager at ZISSP by the 22nd of the month. The report shall be accompanied by supporting documents including receipts, payment vouchers, quotations, bank statements and reconciliations.						
Section A – General Information						
Organization Legal Name						
District and Province						
Organizational Contact	Name . Phone Number . Title .					
Postal Address						
Physical Address of Organization						
Project Implementation Site (s)						
Project Award Details	Project Name: Grant Number: Project Start Date: Project End date:. Amount Awarded:. Amount Disbursed/Received To-Date:.					
Reporting Period						
Section B- Expenses						
No.	Activity	Expenses previously reported	Current period expenses	Cumulative expenses	Approved budget amount	Remaining balance
A. Program implementation activities						

I						
2						
Sub total						
B. Admin costs-travel and transportation						
I						
2						
Sub total						
C. Labor and consultancy						
I						
2						
Sub total						
D. Other direct costs						
I						
2						
Sub total						
Total costs						

Section C: Explanations and support documentation

Are there deviations from the approved budget? Yes/No

If yes, please explain how additional expenses and/or savings were handled._____

_____

_____

Is the ending balance (C) the same as the closing balance on the bank statement? Yes/No

If yes, please give reasons (e.g., uncleared checks, bank charges, etc.)

_____

_____

_____

Please note any financial problems (if any) you encountered during the reporting period.

_____

_____

_____

Please attach the following documents

- Bank statement and reconciliation for the reporting period
- Copies of receipts and quotations
- Minutes of meeting authorizing bank withdraws and procurement
- Check requisition forms
- Payment vouchers

Please note that these documents should be arranged orderly for each of the activities being reported on

Section D-Certification by the Grantee's Representative

I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and liquidated obligations are for the purposes set forth in the award documents

Name, title and phone number: _____

Attachment 2

Financial close-out report

Final/Close Out Financial Report
Instructions: This report shall be done at the end of the project period and should be submitted to the Grants Manager at ZISSP 20 days of completion of the project. The report shall be accompanied by supporting documents including receipts, payment vouchers, quotations, bank statements and reconciliations.

Section A – Summary Information	
Organization Legal Name	
District and Province	
Organizational Contact	Name Phone Number Title
Postal Address	
Physical Address of Organization	
Project Implementation Site (s)	
Project Award Details	Project Name: Grant Number: Project Start Date: Project End date: Amount Awarded: Amount Disbursed/Received To-Date:
Reporting Period	

ACTIVITY	Expenses Previously Reported	Current Period Expenses	Cumulative Expenses	Approved Budget	Remaining Balance
5 DAY TRAINING- 10 SMAGS in safe motherhood					
Refreshments	10,000	10,000	20,000	35,000	15,000
Venue	1,000	1,000	2,000	20,000	18,000
Transport	1,000	1,000	2,000	20,000	18,000
	-	-	-	-	-
Total	**12,000**	**12,000**	**24,000**	**75,000**	**51,000**
Conduct Community Outreach Activities					
Lunch for Drama Group Members	1,000	1,000	2,000	4,000	2,000
Transport	1,000	1,000	2,000	4,000	2,000
Refreshments	1,000	1,000	2,000	4,000	2,000
	-	-	-	-	-
Total	**3,000**	**3,000**	**6,000**	**12,000**	**6,000**
Admin Cost - Travel & Transportation					
Per Diem	1,000	1,000	2,000	4,000	2,000
Lunch	1,000	1,000	2,000	4,000	2,000
Transport	1,000	1,000	2,000	4,000	2,000
Total	**3,000**	**3,000**	**6,000**	**12,000**	**6,000**
Labor & Consultants					
Position 1	1,000	1,000	2,000	4,000	2,000
Position 2	2,000	1,000	3,000	4,000	1,000
Position 3	3,000	1,000	4,000	4,000	-
Position 4	4,000	1,000	5,000	4,000	(1,000)
Total	**10,000**	**4,000**	**14,000**	**16,000**	**2,000**
Other Direct Costs					

Communication	1,000	1,000	2,000	4,000	2,000
Duplication	1,000	1,000	2,000	4,000	2,000
Total Other Direct Costs	**2,000**	**2,000**	**4,000**	**8,000**	**4,000**
Total Costs	30,000	24,000	54,000	123,000	69,000

Section C: Explanations and support documentation

Are there deviations from the approved budget? Yes/No

If yes, please explain how additional expenses and/or savings were handled

_____

_____

_____

Is the ending balance (C) the same as the closing balance on the bank statement? Yes/No

If yes, please give reasons. (e.g., uncleared checks, bank charges, etc.)

_____

_____

_____

Please note any financial problems (if any) you encountered during the project period.

_____

_____

_____

Please attach the following documents

- Bank statement for the closing month of the project

Prepared by:
Name: _____   Signature: _____   Date: _____

Reviewed by:
Name: _____   Signature: _____   Date: _____

Approved by:
Name: _____   Signature: _____   Date: _____

Attachment 3

Indicator tracking sheet

Number	Indicator	No. attained this month			Cumulative no.		
		Male	Female	Total	Male	Female	Total
1	Number of community health workers trained in family planning and reproductive health						
2	Number of people trained as SMAGs in maternal/newborn health through USG supported programs						
3	Number of target facilities with trained SMAGs						
4	Proportion of health facilities in ZISSP target communities that have functional SMAGs that are promoting safe motherhood interventions in the community						
5	Proportion of health facilities in ZISSP target communities that have functional SMAGs that are promoting safe motherhood interventions in the community						
6	Proportion of first ANC visits that occur in the first 20 weeks of pregnancy, in SMGL districts						
7	Proportion of institutional deliveries in SMGL districts (Mansa, Lundazi, Nyimba, Kalomo)						
8	Number of community health workers trained in malaria case management						

9	Number of Volunteers (Community Health Advisory Committee or Neighborhood Health Committee members) trained in Health Planning						
10	Evidence of improvements to systems and processes related to community engagement in health planning						
11	Evidence that private companies have been engaged in HIV/AIDS, FP, malaria, MNCH or nutrition services through PPP-type partnerships, and (NGOs, FBOs)						
12	Number of people trained in behavior change communication methods or materials in ZISSP target districts						
	• Community Health Workers						
	• SMAGs						
	• Drama groups						
	• Change agents						

Attachment 4

Monthly programmatic progress report

Instructions	
This report shall be done by the 20th of each month and should be submitted to the Grants Manager at ZISSP by the 22nd of the month. The report will summarize progress and achievements of grant milestones.	
Section A – Summary Information	
Organization Legal Name	
District and Province	
Organizational Contact	Name Phone Number Title
Postal Address	
Physical Address of Organization	
Project Implementation Site(s)	
Project Award Details	Project Name: Grant Number: Project Start Date: Project End date:. Amount Awarded:. Amount Disbursed/Received To-Date:
Reporting Period	

Section B– Current Status of Activities			
#	Activities (as they appear on the contract)	Status (Completed, Ongoing, Not started)	Comments (e.g., planned activities not performed or delayed, success/failure on performing activities and reasons for failure)

Section C - Resolutions for the organization for challenges in implementing activities				
#	Challenges	Action point	Responsible Officer	Time frame
1				
2				
3				
4				
5				
6				
7				

Section D – Beneficiary Information							
Activity (Please list activities as they appear in the grant agreement)	Target group	Current # of beneficiaries for reporting period		Total	Cumulative # of beneficiaries to date		Total
		Male	Female		Male	Female	

Section D-Experiences in the last month
Indicate lessons learnt, issues coupled with their resolutions: _____   _____   _____

Attachment 5

Sample job description

Job Title:	Information Technology (computer) Manager	**Degree:**	
Department:	Information Management		
Job Location:	Central Administration		
Direct Supervisor:	Executive Director		
Direct Supervision on:	IT Specialists		
Technical supervision on jobs in other departments:	Administrative Coordinator		
General purpose of the job:	Manage and develop information systems and database used at CINGO		

Performance Indicators:	Relevant Procedures & Tools:
- Availability of accurate and updated information about clinics performance - Management dashboard is updated on a quarterly basis - Availability of periodic reports and reports upon request to support the decision making process	- Operating procedures of information management - Workflow diagram for information management system - Information management system HMIS - Dashboard

Main Duties:

- **Information Management**
    1. Manage, update, and improve CINGO's information management system and ensure its quality.
    2. Determine needs for information and data needed for decision makers in cooperation with other departments' managers.
    3. Manage and update dashboard through monitoring clinics' performance indicators and submit periodic reports.
    4. Prepare statistical reports as requested and supply them to the Board of Directors and the donors.
    5. Pro-actively offer technical support to the administrative coordinators in clinics.
    6. Analyze data and submit reports.
    7. Give technical advice on information management equipment.

8. Update the CINGO website once per month.
9. Ensure security of CINGO data.

- **General Administrative Tasks**
    1. Participate in setting goals, policies, strategies and budgets for CINGO.
    2. Prepare work plans and budgets for the IT department.
    3. Supervise employees and work on improving their performance and skills through performance evaluation and supporting appropriate training programs and encourage them to participate.
    4. Anticipate problems before they occur and amend the department's plans and resources accordingly.
    5. Stay updated on amendments of policies and procedures.
    6. Undertake any other related tasks.

Academic Qualifications: B.A. in management information system or any other related field

Work Experience: A minimum of 10 years of experience in designing and managing information systems and database, out of which, 6 years in a supervisory position

Skills & Abilities

Administrative Skills	Technical Skills
- Strategic Management and planning - Effective management and leadership - Administrative coordination and planning - Effective Communication - Performance Management - Change Management - Problem solving and decision making - Manage and lead work teams - Meeting and Time Management - Administrative supervision - Coaching and mentoring employees	- Principles of statistics - Management information systems - Database management - Website management - Internal networking

Attachment 6

Sample position description

Community Health Mobilizers, LTD.

Job Title: Community Mobilization Specialist

Background
Community Health Mobilizers, LTD (CHM) was founded in 1985 as a not-for-profit, non-governmental organization (NGO) with a charter to deliver accurate health messages and health services to peri-urban and rural citizens of Zambia. CMH has grown to an NGO of more than 100 employees, delivering services in 43 of the 72 districts in Zambia. CHM receives funding from income-generating activities as well as donor funding, including direct and indirect funding from USAID, DANIDA, and UKAID. CHM has a main office in Lusaka and two field offices.

Job Description
The CHM Community Mobilization Specialist will work to deliver appropriate health messages in 10 rural districts in the north of Zambia. Working with the support of and under the supervision of the Zonal Community Information Officer, the Community Mobilization Specialist will travel to rural communities to deliver message and distribute IEC materials. It is expected that the specialist will travel approximately 66% of the time.

Duties will include:
1. Helping define, refine, and edit community-delivered IEC materials
2. Help define the curriculum and messages to be delivered
3. Travel to rural communities
4. Liaise with community and church leaders
5. Schedule presentations during community and church events
6. Deliver appropriate health messages
7. Distribute IEC materials
8. Answer questions from audiences
9. Hold private, one-on-one sessions with citizens who have private concerns
10. Send weekly reports of progress
11. Meet monthly with management to report on progress
12. Assist with reports to donors and other stakeholders

Skills/Knowledge Required
- At least three years' experience working in communities delivering health messages
- High school diploma required, university attendance or degree preferred
- Ability to use standard office computer software
- Excellent English written and verbal communication skills. Facility in a local language, especially Bemba or Lunda preferred

How to apply
Send CV and cover letter to jobsinfo@CHMzambia.org

Attachment 7

Interview evaluation form

Position:

Candidate's Name:

Interviewer:

Date:

Qualification	Score 0-Lowest 5-Highest	Comments
General skills and experience		
Experience: How well does the candidate's work experience match the duties and responsibilities of this position?		
Education: How well did the candidate's education match the requirements of this position?		
Communication: How well did the candidate answer questions and express ideas during the interview?		
Skills/Knowledge: How well does the candidate's specific skills and knowledge match the requirements of the position?		
Specific skills and experience		
Candidate's experience in community health message delivery?		

Local language ability?		
Willingness to travel 66%?		
Outgoing communication style?		
Overall assessment		
Overall Assessment: How would you rate this candidate against others you have interviewed for this position?		

Signature: